

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Etsuo KAWATE

Group Art Unit: unassigned

Application No.: to be assigned

Examiner: unassigned

Filed: Concurrently herewith

For: OPTICAL SYSTEM FOR MEASUREMENT

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO-1449 or PTO/SB/08 is a listing of documents known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 CFR 1.56. Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO-1449 or PTO/SB/08 be returned in accordance with MPEP §609.

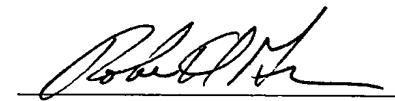
- A copy of each listed document is being submitted to comply with the provisions of 37 CFR §§1.97 and 1.98.
- excluding a copy of U.S. patent or U.S. patent application publication as waived by the U.S. Patent and Trademark Office, since this application was filed after June 30, 2003 or has entered the national stage under 35 U.S.C. § 371 after June 30, 2003 (1276 OG 55).

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.



This Information Disclosure Statement is being filed within three months of the U.S. filing date or within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in compliance with 37 C.F.R. §1.97(b), OR is being filed concurrent with filing of the Continued Prosecution Application (CPA) or the Request for Continued Examination (RCE). No fee is required (37 C.F.R. §1.97(b)).

Respectfully submitted,



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Date: February 25, 2004

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Substitute for form 1449A/B/PTO				<b>Complete if Known</b>	
				Application Number	Not Yet Assigned
				Filing Date	Concurrently Herewith
				First Named Inventor	Etsuo Kawate
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	AIS-0014

<b>U.S. PATENT DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)	MM-DD-YYYY		
AA		20040008346-A1	01-15-2004	Kawate	

<b>FOREIGN PATENT DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	DD-YYYY		
BA		JP-62-132152-A1	06-15-1987	Hitachi Ltd.	
BB		JP-64-035306-A1	02-06-1989	Ricoh Co., Ltd.	
BC		JP-2002-296111-A1	10-09-2002	National Institute of Advanced Industrial & Technology	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			<sup>2</sup>
	CA	L. Ward, et al. "A theoretical study of the sensitivities of some normal incidence methods for measuring the optical constants and thicknesses of thin films" BRIT. J. APPL. PHYS., Vol. 18, pp. 277 - 284, (1967)			
	CB	J. E. Nestell, Jr., et al. "Derivation of Optical Constants of Metals from Thin-Film Measurements at Oblique Incidence", Applied Optics, Vol. 11, No. 3, pp. 643-651, (03/1972)			
	CC	Leonard Hanssen et al. "Methods for absolute reflectance measurement of transmissive materials in the infrared" SPIE, Vol. 3425, pp. 16 - 27, (07/1998)			
	CD	Etsuo Kawate "Symmetry X system and method for absolute measurements of reflectance and transmittance of specular samples" APPLIED OPTICS, Vol. 42, No. 25, pp. 5064 – 5072 (09/2003)			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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